

Project Name:	Department of Energy BMIS Phoenix
Project Number:	BMIS-Phoenix Project Phase I
DOE Proj Mgr:	Michael Fraser
IBM Proj Mgr:	Don A. Cox, PMP

RISK FACTOR AND EVENT LISTING for

Department of Energy BMIS Phoenix Project

Deliverable ID: *ENG 351 Risk Definition*
Version number: *2.05*
Draft/Final as of: *24 October, 2001*
Printed on: *24 October, 2001*
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Document information

Document source

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Revision history

Version number	Date	Summary of changes	Revised By
1.01	31 Oct 00	First version	Lucinda Szebrat
1.02	30 Nov 00	EOM November	Lucinda Szebrat
1.03	30 Dec 00	EOM December	Lucinda Szebrat
2.01	31 Jan 01	EOM January	Rene Moreau
2.02	28 Feb 01	EOM February	Rene Moreau
2.03	30 Mar 01	EOM March	Rene Moreau
2.04	30 Apr 01	EOM April	Rene Moreau
2.05	31 Jul 01	EOM July	Rene Moreau
2.06	24 Oct 01	EOM October	Rene Moreau

Approvals

The following people have approved this document. (Sign below name)

Don A. Cox	Team IBM Program Manager
Signature:	Date:

Distribution

This document has been distributed to:

Name	Function
Team IBM PM	Project Review
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Risk Factor and Event Listing

Date:	04/30/2001	Document ID:	ENG 351 Risk Identification
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No.	Close	Description	Date ID'd / Closed	Eval?	Raised by?	Status
1	<input checked="" type="checkbox"/>	Project not adequately funded.	9/22/00 10/15/00	<input type="checkbox"/>	PDW	This is an ongoing risk
2	<input checked="" type="checkbox"/>	Loss of key Federal personnel	9/22/00 10/15/00	<input type="checkbox"/>	PDW	This is an ongoing risk
3	<input checked="" type="checkbox"/>	Election result impact on DOE leadership	9/22/00 10/15/00	<input type="checkbox"/>	PDW	From Deputy Controller on down, all are career personnel, not appointed.
4	<input checked="" type="checkbox"/>	Lack of DOE resources	9/22/00 10/15/00	<input type="checkbox"/>	PDW	This is an ongoing risk in a matrix organization
5	<input checked="" type="checkbox"/>	Commitment from non-CFO DOE organizations lacking	9/22/00 10/15/00	<input type="checkbox"/>	PDW	This is an ongoing risk in a matrix organization
6	<input checked="" type="checkbox"/>	Lack of decision making on new business processes	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Statement not attributed in PDW – cannot follow-up to ID concern
7	<input checked="" type="checkbox"/>	All processes that require conversion not identified.	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Part of Method Blue process is to identify all conversion requirements.
8	<input checked="" type="checkbox"/>	Undocumented reports	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Part of Method Blue process is to identify all report requirements
9	<input checked="" type="checkbox"/>	Undocumented interfaces	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Part of Method Blue process is to identify all interface requirements
10	<input checked="" type="checkbox"/>	Business practices are changed during project	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Generic risk – given length of project, we expect business processes to change. Must address when it happens.
11	<input checked="" type="checkbox"/>	Local requirements????	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Part of Method Blue process is to identify all site-specific requirements.
12	<input checked="" type="checkbox"/>	Software Gap in handling Reimbursable work	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Software gap analysis occurs in the Focus Phase. We will identify gaps and

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						propose alternatives in Design Phase.
13	<input checked="" type="checkbox"/>	Software Gap in handling Recasts	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Software gap analysis occurs in the Focus Phase. We will identify gaps and propose alternatives in Design Phase.
14	<input checked="" type="checkbox"/>	Interfaces with Integrated (M&I) Contractors	9/22/00 10/15/00	<input type="checkbox"/>	PDW	An interfaces team is assigned to analyze the M&I Interface.
15	<input checked="" type="checkbox"/>	Impact of BMIS-FM on Integrated Contractors	9/22/00 10/15/00	<input type="checkbox"/>	PDW	See above.
16	<input checked="" type="checkbox"/>	Scope changes due to new program requirements	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Formal documented program management processes govern the project scope.
17	<input checked="" type="checkbox"/>	Cultural change requirements underestimated	9/22/00 10/15/00	<input type="checkbox"/>	PDW	The BMIS-FM team is aware of the significance of cultural change. Project resources are dedicated to Cultural Change Management, and specific plans to conduct change interventions and monitor organizational readiness have been implemented.
18	<input checked="" type="checkbox"/>	External requirements change	9/22/00 10/15/00	<input type="checkbox"/>	PDW	Generic risk.
19	<input checked="" type="checkbox"/>	No one POC for Integrated Contractor interfaces	9/22/00 10/15/00	<input type="checkbox"/>	PDW	The Interfaces team leads are in fact the POC for this.
20	<input checked="" type="checkbox"/>	Solution too Cap Center focused	9/22/00 10/15/00	<input type="checkbox"/>	PDW	The project team has no vested interest in any service center, and project team members will be selected from all sites.
21	<input checked="" type="checkbox"/>	Relationship with Travel project	9/22/00 10/15/00	<input type="checkbox"/>	PDW	The proposal calls for an interface with the Travel Manager software app. If the app is changed in the future (status on this unknown), we will address using standard change control

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						process.
22	<input checked="" type="checkbox"/>	Relationship with Payroll project	9/22/00 10/15/00	<input type="checkbox"/>	PDW	The proposal calls for an interface with the Payroll software app. If the app is changed in the future (status on this unknown), we will address using standard change control process.
23	<input checked="" type="checkbox"/>	Dual tasking on staff during training	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	Ongoing risk in a matrix organization.
24	<input checked="" type="checkbox"/>	Poor morale due to concerns of future state	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	Full-time cultural change team will be highly focused on this issue.
25	<input checked="" type="checkbox"/>	Reliance on consultants	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	The SOW calls for ongoing knowledge transfer, with the intent to ramp DOE staffers ASAP.
26	<input checked="" type="checkbox"/>	Requirements continue to be gathered while schedule is fixed	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	The original set of requirements as established in the SOW is considered as the baseline. Any new requirements will be handled through the change control process.
27	<input checked="" type="checkbox"/>	No funding for customizations	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	Per DOE SOW, this is a true statement. However, optional task performance objectives may be turned on to address this, once the Design Phase is completed.
28	<input checked="" type="checkbox"/>	Oracle support for TARs and bugs not timely.	10/24/00 11/15/00	<input checked="" type="checkbox"/>	Concannon, G	See ENG 021 Risk Analysis
29	<input checked="" type="checkbox"/>	Stakeholders unwilling to change business process	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	Ongoing risk. Full-time cultural change team will be highly focused on this issue.
30	<input checked="" type="checkbox"/>	Management & Operations (M&O) Contractor systems changes	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	Our strategy is to require no changes in the M&O feed, rather, to handle in the Oracle EDMS middleware.
31	<input checked="" type="checkbox"/>	Separation of newly created	10/24/00	<input checked="" type="checkbox"/>	Concannon,	See ENG 021 Risk

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		NNSA (National Nuclear Security Administration) into its own entity outside of DOE.	11/15/00		G	Analysis
32	<input checked="" type="checkbox"/>	Loss of Senior Management champion	10/24/00 11/15/00	<input type="checkbox"/>	Concannon, G	Government-wide requirements for modernization transcend party politics. It is expected that Senior Management will continue to sponsor the project.
33	<input checked="" type="checkbox"/>	Full support from Financial Mgrs (does this include program offices?) across DOE lacking.	10/24/00 11/15/00	<input type="checkbox"/>	Olson, D	Ongoing risk. Full-time cultural change team will be highly focused on this issue.
34	<input checked="" type="checkbox"/>	Increase scope to include Budget Formulation	10/24/00 11/15/00	<input type="checkbox"/>	Zawadski, A	No increase in scope necessary – included as part of the 3 rd year of the project, after the CFS is implemented.
35	<input checked="" type="checkbox"/>	Lack of commitment from Program Offices to comply with new budget structure	10/24/00 11/15/00	<input type="checkbox"/>	Zawadski, A	Ongoing risk. Full-time cultural change team will be highly focused on this issue.
36	<input checked="" type="checkbox"/>	Procurement transactions, often main source of accounting data, not moving to Oracle	10/24/00 11/15/00	<input type="checkbox"/>	Zawadski, A	Common issue. Many organizations don't incorporate Oracle Purchasing, but still must facilitate funds checking. The system is designed to facilitate this process, however, we will thoroughly analyze the requirements during Focus Phase, provide alternatives in Design Phase.
37	<input checked="" type="checkbox"/>	24 month schedule too aggressive for DOE culture	10/24/00 11/15/00	<input checked="" type="checkbox"/>	Olson, D	See ENG 021 Risk Analysis
38	<input checked="" type="checkbox"/>	Data not partitioned by field office and service center	10/24/00 11/15/00	<input type="checkbox"/>	Olson, D	Within the Oracle Application, the physical data is restricted through user security to functionally equate to the current architecture.
39	<input checked="" type="checkbox"/>	Recasts and account codes changed during implementation	10/24/00 11/15/00	<input checked="" type="checkbox"/>	Olson, D	See ENG 021 Risk Analysis

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40	<input checked="" type="checkbox"/>	Core users not trained with tools required to understand differences between legacy and BMIS-FM data	10/24/00 11/15/00	<input type="checkbox"/>	Olson, D	All users will be trained in the use of the software. We can't address this until we've progressed farther in the project and assessed training gaps.
41	<input checked="" type="checkbox"/>	CIO firewall protocol standards will not permit Java applets	10/24/00 11/15/00	<input checked="" type="checkbox"/>	Olson, D	See ENG 021 Risk Analysis
42	<input checked="" type="checkbox"/>	SGL conversion schedule	10/24/00 11/15/00	<input checked="" type="checkbox"/>	Cox, D	See ENG 021 Risk Analysis
43	<input type="checkbox"/>	Data conversion	10/26/00	<input checked="" type="checkbox"/>	Cox, D	See ENG 021 Risk Analysis. Reference Risk ID 067.
44	<input type="checkbox"/>	External data exchange	10/26/00	<input checked="" type="checkbox"/>	Cox, D	A team led by Jack Hart has been established to analyze the Integrated Contractor data feeds. See ENG 021 Risk Analysis for further detail.
45	<input checked="" type="checkbox"/>	Location of consolidated reporting in either MARS or Oracle	10/24/00 11/15/00	<input type="checkbox"/>	Loyd, R	MARS will be converted last, and will continue to provide consolidated reporting. At that time, all reporting will then be handled by Oracle.
46	<input checked="" type="checkbox"/>	SGL resources supporting two projects	10/24/00 11/15/00	<input checked="" type="checkbox"/>	Cox, D	See ENG 021 Risk Analysis for item 42
47	<input checked="" type="checkbox"/>	Congressional Funding and Continuing Resolutions	10/24/00 11/15/00	<input type="checkbox"/>	Cox, D	Ongoing risk.
48	<input checked="" type="checkbox"/>	Move to SGL causes loss of DOE historical accounting method	10/24/00 11/15/00	<input type="checkbox"/>	Zawadski, A	Not project related – Department currently reports via SGL from the MARS system, and is migrating to SGL in the DISCAS system.
49	<input checked="" type="checkbox"/>	Inadequate training on new SGL accounts	10/24/00 11/15/00	<input type="checkbox"/>	Kramer, L	Referred to SGL Team.
50	<input checked="" type="checkbox"/>	Project schedule lengthens and field offices lose interest, field experts pulled off project	10/24/00 11/15/00	<input type="checkbox"/>	Smith, I	Ongoing risk. Instituting a project Steering Committee comprised of field and headquarters management has mitigated this risk. Project management is

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						working regularly with the Steering Committee and DOE upper management to sustain focus.
51	<input checked="" type="checkbox"/>	Budget Execution occurs in many different systems, lots of accounting data is interfaced	10/24/00 11/15/00	<input type="checkbox"/>	Zawadski, A	Part of Method Blue process is identifying all application specific requirements.
52	<input checked="" type="checkbox"/>	Additional work is created for Finance folks to enter Purchasing data into Oracle.	10/24/00 11/15/00	<input type="checkbox"/>	Zawadski, A	Unknown. Part of Method Blue process is to identify all application specific requirements.
53	<input checked="" type="checkbox"/>	Oracle budgeting functionality can not satisfy budget management requirements	10/24/00 11/15/00	<input type="checkbox"/>	Olson, D	Part of Method Blue process is identifying all application specific requirements. During the Focus Phase, we will thoroughly analyze budget systems for fit – gap analysis, and propose alternatives in the Design Phase.
54	<input checked="" type="checkbox"/>	Unidentified databases	10/24/00 11/15/00	<input type="checkbox"/>	Cox, D	Misunderstanding of client statement.
55	<input checked="" type="checkbox"/>	Dismantling of DOE	10/24/00 11/15/00	<input type="checkbox"/>	Loyd, R	Judged to be unlikely to occur.
56	<input checked="" type="checkbox"/>	Current operations affected due to key staff diverted to BMIS-FM project	10/24/00 11/15/00	<input type="checkbox"/>	Loyd, R	Ongoing issue in a matrix organization. This is an issue of organizational priorities and is being addressed through the chain of command.
57	<input checked="" type="checkbox"/>	Site infrastructure readiness, i.e. funding for PCs that meet hardware requirements.	10/24/00 11/15/00	<input type="checkbox"/>	Olson, D	The DOE PM has communicated hardware requirements to the CIO, all sites and programs. The IT infrastructure team has provided this to all site coordinators. The minimum configuration is no longer even sold, and the price of the maximum configuration has been

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						reduced to less than \$1000.
58	<input checked="" type="checkbox"/>	No sound cards in ALO due to security can affect distance learning plans	10/24/00 11/15/00	<input type="checkbox"/>	Olson, D	Other training modes available. Site-specific risk to be handled by the OCM, Implementation Teams.
59	<input checked="" type="checkbox"/>	Increase scope to include PRISM for Purchasing group	10/24/00 11/15/00	<input type="checkbox"/>	Fraser, M	Currently out of scope – will handle through the standard change control process if required.
60	<input checked="" type="checkbox"/>	Focus moves away from just completing new accounting system (trying to do too much)	10/24/00 11/15/00	<input type="checkbox"/>	Dorsey Hibbets	While the project scope includes areas outside of the CFS such as procurement and budget formulation, CFS remains as the highest project priority.
61	<input checked="" type="checkbox"/>	Oracle unable to schedule training courses until Feb 2001.	12/15/00 01/05/01	<input checked="" type="checkbox"/>	Joyce, Ben	From Issue Log. See ENG 021 Risk Analysis
62	<input checked="" type="checkbox"/>	Oracle does not provide a Federalized "Vision Database"	01/05/01 01/16/01	<input checked="" type="checkbox"/>	Fowlkes, Greg	See ENG 021 Risk Analysis
63	<input checked="" type="checkbox"/>	Concerns regarding travel requirements, schedule, budget for upcoming CRPs	01/29/01 07/31/01	<input checked="" type="checkbox"/>	Moreau, Rene	Sufficient budget was identified to support the travel requirements.
64	<input checked="" type="checkbox"/>	The Accounting Flex Field design, as recommended from the AFF Workshop, consists of 13 segments, over 80 characters. The number of segments and length of combination has a significant downside in terms of display on forms, reports, use in queries, and rollups.	03/05/01	<input type="checkbox"/>	Patel, Jay	Risk immediately mitigated by establishing a proof of concept demo prior to beginning first CRP. Proof of Concept was conducted March 2001 and a viable AFF design was identified.
65	<input type="checkbox"/>	Uncertainty in the level of FY2002 funding and potential delay in obtaining approval prevents ramp-up of Development Team resources	7/31/01	<input checked="" type="checkbox"/>	Don Cox/ Dave Dowdell (10/16 update)	See ENG 021 Risk Analysis. <i>Updated 10/16/01.</i>
66	<input type="checkbox"/>	The Data Center UPS system has been demonstrated to be unreliable.	7/31/01	<input checked="" type="checkbox"/>	Don Cox	See ENG 021 Risk Analysis
67	<input type="checkbox"/>	The scope of the development effort, i.e. the number and complexity of interfaces,	7/31/00	<input checked="" type="checkbox"/>	Rene Moreau	See ENG 021 Risk Analysis. Reference Risk IDs 043 and 065

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		conversions, and custom reports, is not defined.				
68	<input type="checkbox"/>	The applicability of the Project Accounting Module is yet to be determined, and associated requirements and design are not known	7/31/01	<input checked="" type="checkbox"/>	Rene Moreau	NETL Pilot underway. See ENG 021 Risk Analysis
69	<input type="checkbox"/>	Part time resources unable to adequately support project during year-end peak workload.	10/02/01	<input checked="" type="checkbox"/>	Rene Moreau	See ENG 021 Risk Analysis
70	<input type="checkbox"/>	During the gap assessment process project team members may miss opportunities to improve/eliminate inefficient or low value-add processes.	10/02/01	<input checked="" type="checkbox"/>	Jim Reid	See ENG 021 Risk Analysis
71	<input type="checkbox"/>	Fundamental changes to the core financial systems (such as AFF) may have widespread, unanticipated impact on a significant number of Department systems.	10/02/01	<input checked="" type="checkbox"/>	Andy Zawadski	See ENG 021 Risk Analysis
72	<input type="checkbox"/>	The quality of media distributed by Oracle for software upgrades has been poor.	10/09/01	<input checked="" type="checkbox"/>	Dave Dowdell	See ENG 021 Risk Analysis
73	<input type="checkbox"/>	Multiple versions of Travel Manager are being run on a number of different platforms. This circumstance could lead to a significant increase in the complexity in the interface to this system.	10/09/01	<input checked="" type="checkbox"/>	Laura Kramer	Seen ENG 021 Risk Analysis
74	<input type="checkbox"/>	Experience resulting from the events of September 11, 2001 show that the current provider of offsite back up processing capability may not have sufficient capacity to support Phoenix in the event of a disaster.	10/23/01	<input type="checkbox"/>	Dave Dowdell	Phoenix project management to monitor the actions of the Data Center to address this issue.
75	<input type="checkbox"/>	Continued delays in completion of the design phase put the scheduled October 2002 Capital Center implementation at risk.	10/23/01	<input checked="" type="checkbox"/>	Rene Moreau	See ENG 021 Risk Analysis
	<input type="checkbox"/>			<input type="checkbox"/>		
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